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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/687,645	10/20/2003	Jean-Christophe Simon	237054US0	1828

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OBLON, SPIVAK, MCCLELLAND MAIER & NEUSTADT, P.C.		
1940 DUKE STREET		
ALEXANDRIA, VA 22314		

EXAMINER	
MERCIER, MELISSA S	

ART UNIT	PAPER NUMBER
1615	

NOTIFICATION DATE	DELIVERY MODE
12/07/2007	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

patentdocket@oblon.com  
oblonpat@oblon.com  
jgardner@oblon.com

## Office Action Summary

Application No.

10/687,645

Applicant(s)

SIMON ET AL.

Examiner

Melissa S. Mercier

Art Unit

1615

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 04 October 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1,2,4-10 and 12-46 is/are pending in the application.
- 4a) Of the above claim(s) 7-9,17-19 and 44-46 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1-2, 4-6, 10, 12-16, 20-43 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### **DETAILED ACTION**

Receipt of Applicants Remarks and Amended claims filed on October 4, 2007 is acknowledged. Claims 1-2, 4-10, 12-46 are pending in this application. Claims 7-9, 17-19, 44-46 remain withdrawn from consideration. Claims 1-2, 4-6, 10, 12-16, 20-43 remain under prosecution in this application.

### ***Oath/Declaration***

The oath or declaration is defective. A new oath or declaration in compliance with 37 CFR 1.67(a) identifying this application by application number and filing date is required. See MPEP §§ 602.01 and 602.02.

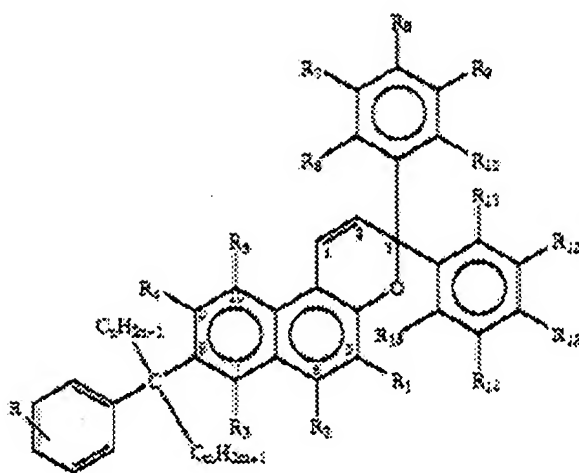
The oath or declaration is defective because:  
Non-initialed and/or non-dated alterations have been made to the oath or declaration. See 37 CFR 1.52(c).

### ***Claim Rejections - 35 USC § 103***

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Claims 1-2, 4-6, 10, 12, and 20-43 are rejected under 35 U.S.C. 103(a) as being unpatentable over Krongauz et al. (US Patent 6,627,121) in view of Lagrange (US Patent 6,123,952).

Krongauz discloses a photo chromic naphthopyran of the formula:



wherein R1 through R15, which may be the same or different, are independently selected from the group consisting of hydrogen, C1 -C4 alkyl, C1 -C4 alkoxy, halogen, C1-C4 alkylcarbonyloxy, benzoyloxy, C3-C6 cycloalkyl, phenyl, and NR16 R17, wherein R16 and R17 are each C1-C4 alkyl or together with the N atom form a 5-12 membered monocyclic or polycyclic ring having, optionally, one or more further heteroatoms; R is hydrogen, C1-C4 alkyl or C1-C4 alkoxy, and (C<sub>n</sub>H<sub>2n+1</sub>)--C--(C<sub>m</sub>H<sub>2m+1</sub>) is a tert-alkylene group, wherein n and m are integers from 1 to 5.

Krongauz discloses the compounds impart a yellow to blue colors.

Krongauz does not disclose using the compound in a cosmetic composition.

Lagrange discloses a cosmetic composition comprising a photo chromic compound. LaGrange discloses the photo chromic compounds are compounds which have the property of changing color when they are irradiated with a light source and

then regaining their initial color when the irradiation stops (column 1, lines 43-46) The composition can be in any cosmetically acceptable pharmaceutical form, such as in the form of a lotion, suspension, dispersion or solution in aqueous-alcoholic or solvent medium; which may be multi-phasic; in the form of a gel, a mousse, a spray, an oil-in-water, water-in-oil or multiple emulsion; in the form of a free, compact or cast powder; in the form of an anhydrous solid or paste (column 3, lines 46-54).

The photo chromic coloring agent is present in the amount of 0.05-30% by weight (column 6, lines 27-28). The composition also contains a cosmetically acceptable medium (column 6, lines 34-35). A fatty phase may be present comprising oils of animals, plants, mineral or synthetic origin, waxes of animal, plant, mineral, or synthetic origin, pasty fatty substances, gums, or mixtures thereof (column 6, lines 46-52).

Volatile oils may also be present, such as cyclic volatile silicones, cyclocopolymers, and linear volatile silicones; non volatile oils may be used, such as poly(C1-C20) alkylsiloxanes, silicones modified with aliphatic or aromatic groups, phenylsilicones, oils of animal plant, or mineral origin, fluoro oils and perfluoro oils (column 6, line 54-column 7, lines 64).

The aqueous phase can comprise from 0% to 14% by weight, relative to the total weight of the aqueous phase, of a C2-C6 lower monoalcohol and/or of a polyol such as glycerol, butylene glycol, isoprene glycol, propylene glycol or polyethylene glycol (column 8, lines 54-58).

When the composition is in the form of an emulsion, it can also comprise a surfactant, in an amount of from 0.01 to 30% by weight relative to the total weight of the

composition (column 8, lines 59-63). The composition can also comprise one or more thickeners in concentrations ranging from 0 to 6% by weight, relative to the total weight of the emulsion (column 9, lines 45-48).

The composition can also comprise a film-forming polymer. The polymers can be dissolved or dispersed in the cosmetically acceptable medium. In particular, the polymer can be present in the form of a solution in an organic solvent or in the form of an aqueous dispersion of film-forming polymer particles (column 10, lines 4-12).

The composition can also comprise a particulate phase, which can comprise pigments and/or pearlescent agents and/or fillers usually used in cosmetic compositions (column 10, lines 65-68). The fillers, which can be present, are in a proportion of from 0 to 30% by weight (column 11, lines 34-35). Pigments include white or colored, inorganic or organic particles intended to color or opacify the composition (column 11, lines 1-2), iridescent particles which reflect light (column 11, lines 8-9), and lakes and dyes (column 11, lines 16-25).

The instant claims differ from the references only in the specific percentage selected for the compositions. However, It would have been deemed *prima Facie* obvious to one having ordinary skill in the art at the time of the invention to optimize the percentage of each component, to prepare a composition containing a photo chromic dye for application as a cosmetic composition because the determination of a specific percentage having the optimum therapeutic effect is well within the level of one having ordinary skill in the art, and the artisan would be motivated to determine optimum

amounts to get the maximum effect of the active compounds. Therefore, the invention as Whole has been prima face obvious to one of ordinary skill in the art at the time the invention was made.

Claims 13-16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Krongauz et al. (US Patent 6,627,121) in view of Lagrange (US Patent 6,123,952) and further in view of Polonka et al. (US Patent 6,369,147).

The combined teachings of Krongauz and Lagrange are discussed above and applied in the same manner.

The combined teachings do not disclose the use of a goniochromatic coloring agent.

Polonka discloses a metallic effect pigment comprising an instant effect pigments have a high gloss, attractive goniochromatic shifts generally with a high dark flop effect, as well as surprisingly vivid, saturated colors and a good hiding power (column 4, lines 7-10). For producing a mixed interference/absorption effect pigment, the metal oxide of dielectric layer is a colored oxide or colored mixed oxide of elements of groups 5 to 12 (column 4, lines 43-46). For producing a pure interference effect pigment, the metal oxide of dielectric layer (c) is preferably a substantially colorless oxide of an element of groups 3 or 4 (column 4, lines 60-63).

The instant claims differ from the references only in the specific percentage selected for the compositions. However, It would have been deemed prima Facie obvious to one having ordinary skill in the art at the time of the invention to optimize the

percentage of each component, to prepare a composition containing a photo chromic dye and a goniochromatic dye for application as a cosmetic composition because the determination of a specific percentage having the optimum therapeutic effect is well within the level of one having ordinary skill in the art, and the artisan would be motivated to determine optimum amounts to get the maximum effect of the active compounds. Therefore, the invention as Whole has been prima face obvious to one of ordinary skill in the art at the time the invention was made.

It would have been obvious to a person of ordinary skill in the art to incorporate the goniochromatic dye disclosed by Polonka into the composition taught by Krongauz and Lagrange in order to obtain a cosmetic composition in which the effect pigment particles incorporated therein will, within the coating, align themselves parallel to the surface so that the colored paint surface, when illuminated by a fixed white light source may display different colors or will appear to have an iridescent color depending on the viewing angle (column 1 ,lines 7-15).

### ***Response to Arguments***

Applicant's arguments have been fully considered but they are not persuasive. Applicant argues the Krongauz reference is non analogous art and should therefore be withdrawn from consideration as prior art. The examiner disagrees. The examiner has relied on the reference only to show the dye is a known dye. The examiner has not relied on the composition disclosed by Krongauz as suitable for application to a person as a cosmetic composition. The examiner has relied on Lagrange and Polonka for the cosmetic composition components. Applicant has additionally argued limitations which



are not presented in the claims (i.e. thermally irreversible photo chromic compounds.

While the reference may not particularly disclose the naphthopyran is dissolved, it would have been within the knowledge of one of ordinary skill in the art to have used specific solvents which would have dissolved the coloring in order to obtain the desired effects.

### ***Conclusion***

No claims are allowable. Due to the new grounds of rejection, this action is made Non-Final. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Melissa S. Mercier whose telephone number is (571) 272-9039. The examiner can normally be reached on 7:30am-4pm Mon through Friday.

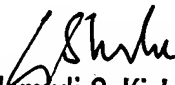
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael Woodward can be reached on (571) 272-8373. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MSMercier

  
Gollamudi S. Kishore, PhD  
Primary Examiner,  
Group 1600